DOCUMENT RESUME

ED 174 126 HE 011 468

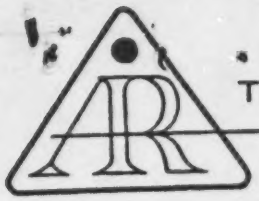
AUTHOR Hellweg, Susan A.
TITLE Requisites for an Effective University Grants Development Operation. AIR Forum 1979 Paper.
PUB DATE May 79
NOTE 19p.; Paper presented at the Annual Forum of the Association for Institutional Research (19th, San Diego, California, May 13-17, 1979); appended periodicals and publications list may not reproduce well

EDRS PRICE MF01/PC01 Plus Postage.
DESCRIPTORS Administrative Personnel; *Administrator Characteristics; *College Administration; College Faculty; *Directories; *Grants; Higher Education; Institutional Evaluation; Institutional Research; Interests; Private Financial Support; *Program Coordination; Program Development; Research Directors; Researchers; Research Opportunities
IDENTIFIERS *AIR Forum 1979

ABSTRACT

The conditions under which the effectiveness of a university grants operation is potentially maximized are described. The following topics are addressed: the attitudes to be adopted by university administrators in grants operations, the functions of the institutional grants office, and the qualities needed in a campus coordinator of research. The university must make a commitment to its efforts to become involved in the grants business, and administrative personnel must consider grants operations a top priority. The grants office should function as a facilitator, as an assistance and coordination mechanism, for faculty and staff in grant development and administration. To do this, the grants office must develop an adequate information system, a regular dissemination plan, and a system for matching faculty competencies and research interest areas with available grant programs. The grants office can also provide liaison functions with regard to local community agencies, other institutions which might become involved in joint projects, and granting agencies. The coordinator of research should be an individual who has administrative and organizational skills, political savvy, excellent communication skills, and innovative ability. A list of publications and periodicals providing information on grants programs is appended. (SW)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****



THE ASSOCIATION FOR INSTITUTIONAL RESEARCH

ED174126

This paper was presented at the Nineteenth Annual Forum of the Association for Institutional Research held at the Town and Country Inn in San Diego, California, May 13-17, 1979. This paper was reviewed by the AIR Forum Publications Committee and was judged to be of high quality and of interest to others concerned with the research of higher education. It has therefore been selected to be included in the ERIC collection of Forum papers.

Mary Corcoran
University of Minnesota
(Editor, AIR Forum Publications)

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY

AIR

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

U S DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION

THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT. POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL NATIONAL INSTITUTE OF EDUCATION POSITION OR POLICY

HE 011 468

REQUISITES FOR AN EFFECTIVE UNIVERSITY GRANTS DEVELOPMENT OPERATION

Susan A. Hellweg

California State University, Dominguez Hills
Assistant Director of Research
Lecturer, Behavioral Science Graduate Program

Paper presented at the Association for Institutional Research Forum
San Diego, California
May 1979

ABSTRACT

At a time when funds from normal university budgets are lessening due to reduced government support, declining enrollments, and the influx of steady state, the importance of grant money to a campus becomes increasingly obvious. This paper outlines the requisites for an effective university grants operation. Specifically, the paper describes the attitudes which must be adopted by university administrators in this effort, the functions of the institutional grants office, and the qualities needed in a campus coordinator of research.

REQUISITES FOR AN EFFECTIVE UNIVERSITY GRANTS DEVELOPMENT OPERATION

At a time when funds from normal university budgets are lessening due to reduced support from state and federal governments, declining enrollments, and the influx of steady state, the importance of grant money to a campus becomes increasingly obvious. The procurement of grant money by a university may, in fact, be the difference in whether or not normal services can be maintained at the level to which students in general have become accustomed.

Campus grant money serves to enhance the institution's effectiveness in accomplishing its stated mission: teaching, research, and community service. In particular, these funds provide for: (1) the development of financial capital through overhead; (2) the procurement of buildings, equipment, supplies, travel funds, personnel resources (including the services of unique practitioners); (3) the enrichment of teaching; (4) the creation of an atmosphere of academic excellence through faculty and student involvement in research; (5) the promotion of cooperative effort among departments and schools within the university and between universities; (6) the development of secondary areas of expertise for faculty; (7) the expansion of existing curricular offerings, as well as new programmatic development; and (8) the creation of community visibility and support.

The purpose of this paper will be to describe the conditions under which the effectiveness of a university grants operation is potentially maximized.

A university needs first to structure itself for grants success. This amounts primarily to adopting appropriate attitudes toward the process of seeking money from funding agencies and in seeing that the proper mechanism is set up within the institution for developing

proposals and for administering projects when they are funded. It is essential that campus administrators realize that while the business of seeking grant money may involve an investment of effort and resources, the return will make it all most worthwhile. One of the most essential factors for grants success from an internal perspective is communication from the top of the university administration that grants seeking is a number one priority of the campus; this needs not only to be put into words, but also into actions, and it needs to be communicated regularly. Likewise, deans and department chairs need to adopt a positive attitude toward grants seeking, so that they encourage the process locally among faculty members. It is extremely important that faculty see the administration as being supportive of the process, both in offering an assistance mechanism in the preparation of proposals and administration of projects and in being supportive of requests for release time or, if possible, requests for discretionary money for travel associated with the procurement of a particular grant. In addition, faculty members need to see the return of some of the overhead money which comes to campus as a result of funded projects to their individual units and/or to university grant programs, so that it does not seem to simply disappear mysteriously in the hands of the central administration. Further, the campus needs to develop and publicize its own policies and procedures for the development of proposals and administration of grants, so that there is a clear understanding of what each office does in relationship to the entire process and what guidelines are to be followed by the individual faculty member. It is important that these policies and procedures be streamlined and carefully developed, so that faculty do not get defeated by the process and simply give up and so that the process operates smoothly and efficiently. Faculty need to see that it is acceptable to ask for money to conduct research

and that the university will encourage and support them in their endeavor to seek funds. In sum, the campus must make a commitment in its effort to become involved in the grants business.

The functions of a university research and grants office are many. Primarily, this office should be viewed as a facilitator, as an assistance and coordination mechanism, for faculty and staff of a university in grant development and administration. To accomplish this end, there are a number of activities it should perform.

First, a grants office needs to develop an adequate information system. As part of this information system, a library of periodicals and publications describing current developments in agencies and available grants programs needs to be maintained for access to the faculty and staff of the university. The fact that these resources exist in the office is not enough; the faculty needs to be reminded that they are there on a regular basis and that they have full access to them at any time. A number of annual publications are useful in this regard, as well as a variety of periodicals (usually monthly), a suggested list for which is contained in the appendix of this paper. In addition, the grants office should maintain booklets on proposal preparation and copies of successful proposals which can be shown to faculty and staff as models. Finally, the office needs a complete file of agency brochures and program guidelines, one that is kept up-to-date continuously.

To augment the use of the information system, the grants office needs to develop a regular dissemination plan. One means for this is a monthly newsletter, containing a listing of all program deadlines, articles about currently available funding programs, notices about trends occuring in the grants world, notices about grants awarded to the campus and proposals submitted by the campus to agencies, and

other miscellaneous items. Another means for activating the information system is to send individual program announcements as they come to the office from agencies to appropriate faculty. Both processes require a very regular search procedure of all incoming material. It is essential, due to the short time period between agency announcements and programmatic deadlines, that both the newsletter and the distribution of individual notices be processed in an efficient, expedient manner; otherwise, of course, the information is of minimal use to the people for which is it intended, which once again defeats the entire purpose of the grants development operation.

Inherent also in the development of an information system is an idea of the grants for which the campus and its individual faculty and staff members could apply. An initial step in building a grants development operation is the development of a campus fundability profile. This amounts to simply assessing the strengths and areas of concentration which are a part of the university structure. One way to perform this assessment is programmatically, simply listing the academic programs that the university offers; a secondary view should examine the ways in which grant applications could be made on an interdisciplinary basis; a tertiary view should look at the area in which the university is situated and the types of students it has.

Another important function of a grants office in maximizing the information system is the matching of faculty competencies and research interest areas with available grant programs. The professional staff of the grants office must, therefore, develop very close working relationships with faculty and staff members. By working with them on a continual basis, it can be immediately clear upon the receipt

of funding information what faculty members need to receive it. This working relationship entails more than simply meeting with faculty in the office; to maximize its effectiveness, grants office personnel should visit faculty on their own grounds, to get a first-hand look at their research and to show genuine interest in the work that they are performing. Cross-reference files make the matching of related information from diverse sources easier; knowing faculty competencies and research interest areas makes the possibility of developing interdisciplinary grant proposal teams easier. As the grants office develops an increased informational base and familiarity with faculty grants interests, it can maximize the process for the best possible proposal for a particular project.

As part of the assessment of faculty competencies and research interests, the grants office should conduct an annual survey of its faculty and staff members to ascertain not only primary areas of expertise and interest, but also secondary and tertiary ones. It is not enough to know that Professor Doe teaches in the Department of Sociology; he may have a number of competencies which do not relate to his specific teaching area which would be applicable to his involvement in applying for grants. This information is valuable both for encouraging grants activity on campus and for maximizing the chances of grants success. A high response rate to this survey is obviously crucial; a short questionnaire with a cover letter, perhaps from the president of the university, is in line here (this being another opportunity for the central administration to express its support and encouragement of grant activity to the faculty and staff of the university).

Another dissemination activity which the grants office can undertake is an analysis of the funding agencies for each of the

academic disciplines of the university. A good way to disseminate this information is at the first departmental meeting of the term; this provides an opportunity for the professional staff of the grants office to "get the word out" about the office, to describe its services and its support for the process of grants development.

An underlying assumption of any university grants development operation is that faculty possess different levels of expertise and confidence in preparing proposals for agencies. Several activities in this regard should be undertaken by the professional staff of the grants office. Periodic grantsmanship workshops for faculty and staff should be conducted by the grants office, detailing pertinent information on the techniques for developing proposals; these workshops can either be performed for the faculty as a whole or for faculty for one school at a time, since proposal preparation is slightly different by academic orientation. In addition, the grants office should prepare a booklet, along the lines of a "Faculty Guide to the Development of Grant Proposals," which outlines instructional information, as well as campus policies and procedures in regard to proposal development and grant administration. This document should be as clearly written as possible and should communicate once again the support services available on campus.

As part of assisting faculty in the proposal development process, it is helpful if the grants office can provide faculty and staff members with access to computer searches, clerical support for the actual preparation of the proposal, and guidance in the development of the proposal budget, especially in formulating institutional contributions. In addition, the grants office should facilitate compliance assurances, such as those for human subjects

and animal care. This can be accomplished by having the institutional boards connected to these concerns administered through the grants office itself. Finally, the grants office should coordinate the internal approval process for proposals and transmit the completed product to the funding agency for the faculty or staff member.

There are a number of liaison functions which the grants office can serve. One is to local community agencies and other institutions in the area for involvement in joint projects to meet community and/or inter-institutional needs. Such cooperative efforts could involve the performance of services by faculty for city and county governments through contracts, in addition to joint submission on grants to agencies. The grants office could also serve in this regard to coordinate the preparation of support letters from the community for projects submitted by the campus, but which have impact upon the community.

A second liaison function that the grants office must serve is with the granting agencies themselves. In order to accomplish this, the office needs to have a representative unit in Washington, D.C. The importance of this unit cannot be overestimated. The personnel in this unit can provide the campus with the most up-to-date information on government appropriations to agencies and upcoming grant programs, but also they can represent the campus in meetings with agency personnel and can affect the legislative process as it develops in regard to grants programs. This office can, in addition, set up meetings for campus representatives with agency personnel when they come to Washington, D.C. and can get funding representatives to visit college campuses to meet with individual faculty and staff members interested in pursuing the development of grant proposals.

Another very valuable liaison mechanism for the grants office to become involved in is the setting up of a campus professor in an agency for a year. One such program is available through the National Science Foundation. The benefits of having a representative from the faculty actually in an agency are tremendous, especially in terms of feeding into the information system, but also in terms of making faculty more sensitive to the grants process itself. In somewhat the same way, participation by faculty on agency peer review panels is most valuable in making the process a little less mysterious.

It is important also that the professional staff of a grants office make at least semi-annual trips to Washington, D.C. to discuss proposals with agencies, as well as to spread "the good word" about the university. This can be accomplished in conjunction with professional conferences, such as those provided by the Office of Federal Programs of the American Association of State Colleges and Universities. This office serves as a liaison between the country's state colleges and universities and the granting agencies. Membership in this organization, or ones similar to it, are most worthwhile, as they, like the campus unit in Washington, D.C., can fight to affect legislation, can feed into the informational system of the university, and can represent the university accordingly. In addition to these meetings, the professional staff should also maintain individual membership in and attend the annual meetings of the National Council of University Research Administrators and the Society of Research Administrators. These meetings are helpful through the information that is disseminated, as well as in the exchange that takes place between campus grant coordinators. In this vein, it is also profitable to visit other campuses and see their grants development operation first-hand and to have coordinators

from other educational institutions come to your campus and assess the effectiveness of your operation.

One of the underlying themes of this paper in effecting grants success is time management and streamlining the administrative hurdles. The internal proposal approval process is a part of the pre-submission course that needs to be carefully developed, so that proposals are properly reviewed, but not bogged down as they move from one administrator to another. The sign-off process needs to be streamlined so that there is no duplication of effort in reviewing each proposal. Campuses differ widely in the signatures that they require. One possible way to determine what administrators need to review a proposal is by figuring out what each potential signatory would be responsible for, an example set-up being as follows: (1) Department Chairperson -- signifying that the proposed project is consistent with departmental objectives and polices, that space and facilities are available for the project using departmental resources or grant funds, and that an appropriate replacement will be sought for any release time requested; (2) School Dean -- signifying that the proposed project is consistent with school objectives and policies, specifically those pertaining to programmatic concerns and the utilization of space, facilities, and personnel, and that the potential impact to the school of the project in terms of future support capability has been evaluated; (3) Coordinator of Research -- signifying that the proposal has been checked for format and appropriateness for submission, and that the project has undergone any necessary human subjects and animal care review; (4) Director of Campus Foundation -- signifying that all items contained within the proposal budget are accurate, that appropriate salary scales and fringe benefits have been allocated to personnel, that budget costs are consistent with the fiscal policies of the university, that proposed matching funds are in accordance with

university policies, and that an appropriate indirect cost has been charged to the project; and (5) President -- signifying that the proposed project is consistent with university policies, goals, and objectives and is given the full endorsement of the institution. Due to the organizational structure of the university, it may be possible to reduce the signature list even further than suggested by this example. The point is the signatory process needs to cover all the appropriate administrators, but it also must not be so cumbersome that project proposals cannot get to agencies on time. When the process becomes too cumbersome, faculty see another administrative obstacle in the way of their efforts and decide that the whole thing is not worth it.

It is important to publicize the success of faculty whose grants are funded. This provides incentive to other faculty members and is rewarding to those who are successful. It also stimulates a sense of pride in the university and a certain degree of intellectual interest in what other faculty members are doing in the way of research.

Another way of creating visibility for the grants office and to stimulate grant development activity is to offer a seminar in grantsmanship through any of several departments as a regular course. Not only would participation in the seminar be beneficial to students, but faculty would also find it instructionally stimulating. An assessment of student need could be conducted to ascertain the appropriate department in which to house the course; a graduate program, in which practicing professionals were students, might be an appropriate location for the seminar.

Typically, a university grants office reports either to the academic or administrative sector, usually at the vice-presidential level. Often, the grants office also handles graduate studies, and it is reflected in its title. It is important that the professional

staff responsible for the campus grants activity serve this function and no other, since the development of grants is a full-time job in itself. It is also important because of the visibility of the office and its staff; faculty need to see the grants office as that and nothing else. In some way or another, the grants office should have an interface with those administrators involved in programmatic development and resource management for the university, so that needs can be anticipated and projects can be so coordinated. There needs to be a very clear perception on campus of the relationship of the grants office to those in the grants administration office, the public affairs office, the alumni office, etc. Each of these offices needs to know how it fits into the university structure in terms of its functions and its relationship with the other offices. For example, it would be important for each office to know who is responsible for negotiation of budgets with agencies, or who is responsible for developmental activities, since it is possible for either of these to be the responsibility of two offices; development activities could be the responsibility of the grants office or the public affairs office, while buget negotiation could be the responsibility of either the grants office or the grants administration office.

The Coordinator of Research should be an individual who has administrative and organizational ability, political savvy, excellent communication skills, and innovative ability. He/she should have a management style that encourages grant activity. The Coordinator of Research needs to be capable of a harmonious relationship with all faculty and should be perceived as a person who will push projects through agencies, who can represent the campus and the interests of the faculty well. He/she needs to win the confidence of the faculty and be seen as a colleague. This individual must be skilled in persuasion and negotiation techniques and possess creative

capabilities. It is important also that this person be capable of seeing across disciplines, be able to see the potential of interdisciplinary projects. He/she should be an individual who can make the faculty believe in the potential of their ideas and make the funding agencies see the mutual benefits to be gained in the awarding of proposed projects.

The purpose of this paper has been to outline the various aspects of an effective university grants development operation. Since resource constraints will be such a crucial issue for universities in the 1980s, it is important that they formulate strategies that will maximize alternative sources of funding. It is hoped that this paper has been successful in communicating some ideas which can contribute to the conceptualization of such strategies.

PERIODICALS AND PUBLICATIONS

1. *Annual Register of Grant Support (ARGS)* -- provides information on foundation, government, and corporate funding programs. Entries given for the following: areas of agency interest, type of grant support provided, number of applicants in the most recent year, eligibility requirements, number of awards given in the most recent year, amount of support per award, program deadlines, details of application process.

2. *Catalog of Federal Domestic Assistance (CFDA)* -- provides descriptions of all Federal grant programs including information on authorizing legislation, purposes, eligibility, appropriations, program contacts, and application/award processes. Entries are cross-indexed in a number of ways. A listing of related programs is also provided for each separate entry. A CFDA number is assigned to each program. This is an annual publication.

3. *Commerce Business Daily (CBD)* -- provides daily announcements of government contract activities, solicited and awarded by Federal agencies. Bidding opportunities normally involve the procurement of equipment, services, materials, or research, sales of surplus property, and foreign business opportunities. Entries generally detail the tasks involved in the contract and indicate where one should write to get the Request for Proposal (RFP) associated with the contract opportunity, in order to acquire more specific information and the appropriate forms to be completed in seeking the contract. Contract offers are listed by subject area.

4. *Directory of Research Grants* -- contains information on grant, contract, and fellowship support programs available from State and Federal governments, private foundations, associations, and corporations for research, training, and innovative efforts. This resource is organized by academic discipline and provides, for each agency entry, the following data: deadlines, program scope, size of the average grant award, dollar range of grant awards, program contacts. Published annually, the publication is indexed by grant program, sponsoring organization, and type of sponsoring organization.

5. *Federal Register* -- contains program regulations, in both the proposed and final stages, announcements of deadlines, and program funding criteria. Often announcements relate to changes or clarifications of already existing grant programs.

6. *Federal Research Report* -- provides reports on government activities relating to funds available for research, education, and associated areas. Each semimonthly issue offers a listing of upcoming grant deadlines and articles on specific programs.

7. *The Grants Register* -- describes the purpose and scope of international grants programs, as well as ones in the United States. Included in the listings are scholarships and fellowships of all levels of graduate study, from regional, national, and international sources, tenable at home and/or abroad; research grants, exchange opportunities; vacation study awards; travel grants; grants-in-aid; project grants; competitions, prizes, and honoraria; professional and vocational awards; special awards. This biennial publication provides eligibility requirements for each program and an address for obtaining further information, including application materials.

8. *Guide to Federal Assistance for Education* -- provides lengthy descriptions about Federal funding programs, which are updated on a monthly basis, including program purpose, eligibility and matching requirements, agency contact at both the State and Federal level, available funds, deadlines, and related programs.

9. *Federal Notes* -- provides information on sources of Federal funds for education, on current legislation, program plans of Federal agencies, application process for grants programs, highlights on regulatory notes from the *Federal Register*, and notes on upcoming programs. It is a semi-monthly periodical.

10. *College and University Reports* -- contains information on a weekly basis on a limited number of Federal programs and legislation of interest to higher education.

11. *Educational Resources* -- contains reviews of upcoming Federal and foundation programs with descriptions of purpose, eligibility, funding levels, deadlines, and high priority areas. This periodical is published ten times per year.

12. *NIH Guide for Grants and Contracts* -- provides policy and administrative information for NIH grants and contracts. In addition, supplements are published by the respective awarding units concerning new projects, solicitations of sources, and reques for proposals. This irregularly published periodical is free.

13. *Directory of National Science Foundation Programs* -- contains detailed descriptions of all National Science Foundation research and education programs, including funding criteria, financial data, deadlines, eligibility requirements, program contacts, cost-sharing requirements, program objectives, evaluation criteria, and application procedures. Material for this publication is updated on a bi-monthly basis. General information about the National Science Foundation is also provided. This publication is published by Western Michigan University.

14. *NSF Directory Newsletter* -- outlines details of current National Science Foundation grants programs, including deadlines, program contacts, eligibility requirements, funding criteria, and application procedures. This monthly periodical is published by Western Michigan University.

15. *NSF Bulletin* -- provides information about current National Science Foundation grants programs, as well as general notices about job opportunities, Foundation policies and activities, or programmatic changes. This periodical is published on a monthly basis and is free.

16. *Grantsmanship Center News* -- provides information on both public and private sources of funding, as well as numerous useful articles on how to obtain grants, writing proposals and planning programs, and other concerns of interest. It is published six times a year by The Grantsmanship Center.

17. *Foundation Directory* -- outlines general information on large private foundations, including the purpose and activities of the particular foundation, financial data, and officers. The publication, for which supplements are published semi-annually, is indexed by field of interest, alphabetically, geographically, and by administrators.

18. *Foundation Grants Index* -- lists all foundation grants over $5,000 by state and foundation and is indexed by recipient, key words and phrases, subject area, and foundation name. It is updated regularly through a periodical entitled *Foundation News*.

19. *Foundation Reporter* -- provides a detailed description of all major foundations, including its purpose, its funding pattern, its mode of operation, a listing of sample grants by topic area, and program contact. This publication, updated annually, is indexed by field of interest, geographic location, foundation name, and type of grant.